UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	ASC-025DV1C1
	First Named Inventor	Cheng
	Title	SEMICONDUCTOR SUBSTRATE STRUCTURE

APPLICATION ELEMENTS

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

U.S. PTO
10/802185
031704
22856

1. ☒ Fee Transmittal Form

2. ☐ Small Entity Status
  ☐ Applicant claims small entity status
  ☐ Status established in prior application and is still proper and desired

ACCOMPANYING APPLICATION PARTS

3. ☒ Specification and Drawings [Total Pages 30]
  - Cover Sheet - (1 page)
  - Written Description - (12 pages)
  - Claims - (8 pages)
  - Abstract - (1 page)
  - Sheets of Drawings - (8 sheets)
    ☐ Formal
    ☒ Informal

8. ☐ 37 CFR 3.73(b) Statement (*when there is an assignee*)
  ☐ Power of Attorney

9. ☐ English Translation Document (*if applicable*)

10. ☐ Information Disclosure Statement (IDS)/PTO-1449
  ☐ Copies of IDS Citations

4. ☒ Oath or Declaration [Total Pages]
  a. ☐ Newly executed (original)
  b. ☒ Copy from a prior application (37 CFR 1.63(d))
    (*for continuation/divisional with Box 17 completed*)
    [Note Box 5 below]

11. ☒ Preliminary Amendment
  ☐ Drawings [Total Sheets]

5. ☒ Incorporation by Reference (usable if Box 4b is checked)
  The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

12. ☒ Return Receipt Postcard (*specifically itemized*)

13. ☐ Certified Copy of Priority Document(s) (*if foreign priority claimed*)

14. ☐ Nonpublication Request Under 35 U.S.C. 122(b)

6. ☒ Application Data Sheet

15. ☐ CD in duplicate for large table or computer program

7. ☐ Nucleotide and/or Amino Acid Sequence Submission
  ☐ Computer Readable Form (CRF)
  ☐ Paper Copy (identical to computer copy)
  ☐ CD (2 copies) (identical to computer copy)
  ☐ Statement verifying identity of above copies

16. ☒ Other:
  Copy of Power of Attorney by Assignee of Entire Interest and Revocation of Prior Powers and New Power of Attorney (2 pages)
  Copy of Preliminary Amendment filed in parent case (14 pages)
  Copy of Transmittal of Formal Drawings filed in parent case (1 pg)
  Copy of Formal Drawings filed in parent case (5 sheets)

17. ☒ If a CONTINUING APPLICATION: Amend the specification by inserting on page 1, before the first line, the sentence:
--This is a
  ☒ continuation ☐ divisional ☐ continuation-in-part of prior application Serial Nos. 10/384,160, filed on March 7, 2003, and 09/928,126, filed on August 10, 2001, the entire disclosures of which are incorporated by reference herein.--
  Priority to the above application(s) is claimed under 35 U.S.C. 120.
  Prior application information: Examiner: Craig Thompson. Group/Art Unit: 2813.

18. ☒ Priority - 35 U.S.C. 119
  ☒ Priority of application Serial No. 60/225,666 filed on August 16, 200 in the U.S. patent and Trademark Office is claimed under 35 U.S.C. 119.
    ☐ The certified copy has been filed in prior U.S. application Serial No. _____/_____ on _____.
    ☐ The certified copy will follow.

CORRESPONDENCE ADDRESS	SIGNATURE BLOCK
Direct all correspondence to: Patent Administrator Testa, Hurwitz & Thibeault, LLP High Street Tower 125 High Street Boston, MA 02110 Tel. No.: (617) 248-7000 Fax No.: (617) 248-7100 Customer No. 021323	Respectfully submitted, *Natasha C. Us* Date: March 17, 2004 Reg. No. 44,381 Tel. No.: (617) 310-8327 Fax No.: (617) 248-7100 Natasha C. Us Attorney for Applicant(s) Testa, Hurwitz & Thibeault, LLP High Street Tower 125 High Street Boston, MA 02110

3039462

FEE TRANSMITTAL
FY 2004

Complete if Known	
Application Serial Number	Not yet assigned
Filing Date	Herewith
First Named Inventor	Cheng
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket No.	ASC-025DV1C1

METHOD OF PAYMENT

1. ☒ Payment Enclosed:
   ☒ Check ☐ Money Order ☐ Other

2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.
   ☐ Required Fees (copy of this sheet enclosed).
   ☒ Additional fee required under 37 CFR 1.16 and 1.17.
   ☒ Overpayment Credit.

3. ☐ Applicant claims small entity status.

FEE CALCULATION

1. FILING FEE

Large Entity

Fee ($)	Fee Description	Fee Paid
770	Utility filing fee	770.00
340	Design filing fee	
160	Provisional filing fee	

	Number Filed	Number Extra	Rate	Amount
Total Claims		- 20 =	x $ 18.00 =	
Independent Claims		- 3 =	x $ 86.00 =	
☐ Multiple Dependent Claim(s), if any			$290.00 =	

TOTAL: 770.00
SMALL ENTITY DISCOUNT: -
SUBTOTAL (1) ($) 770.00

2. AMENDMENT CLAIM FEES

	Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
Total	-	=		x $ 18.00 =	
Indep.	-	=		x $ 86.00 =	
☐ First Presentation of Multiple Dep. Claim				+ $290.00 =	

TOTAL: ($)
SMALL ENTITY DISCOUNT: ($)
SUBTOTAL (2) ($) 0.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee ($)	Small Entity Fee ($)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	Request for ex parte reexamination	
110	55	Extension for reply within first month	
420	210	Extension for reply within second month	
950	475	Extension for reply within third month	
1480	740	Extension for reply within fourth month	
2010	1005	Extension for reply within fifth month	
330	165	Notice of Appeal	
330	165	Filing a brief in support of an appeal	
290	145	Request for oral hearing	
130	130	Petitions to the Commissioner	
180	180	Submission of Information Disclosure Statement	
770	385	Filing a submission after final rejection (37 CFR 1.129(a))	
770	385	For each additional invention to be examined (37 CFR 1.129(b))	
100	100	Certificate of Correction for applicant's error	
110	55	Submission of Terminal Disclaimer	
Other fee (Specify)		_____	
Other fee (Specify)		_____	

SUBTOTAL (3) ($) 0.00

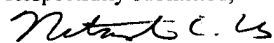| SUBTOTAL (1)	770.00
SUBTOTAL (2)	0.00
SUBTOTAL (3)	0.00
TOTAL ($)	770.00

CORRESPONDENCE ADDRESS

Direct all correspondence to:
Patent Administrator
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SIGNATURE BLOCK

Respectfully submitted,

Date: March 17, 2004
Reg. No.: 44,381
Tel. No.: (617) 310-8327
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Natasha C. Us
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Cheng et al.

SERIAL NO.:   Not yet assigned   GROUP NO.:   Not yet assigned

FILING DATE: Herewith   EXAMINER: Not yet assigned

TITLE: PROCESS FOR PRODUCING SEMICONDUCTOR ARTICLE
                USING GRADED EPITAXIAL GROWTH

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF FORMAL DRAWINGS

Sir:

Transmitted herewith for filing in the above-referenced patent application are five (5) sheets of formal drawings.

Respectfully submitted,

Date: March 7, 2003
Reg. No. 44,381

Natasha C. Us
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